

# **Multi Year Program Defense (MYPD) Template**

DRAFT V-11A – 2/14/03

## **Background**

EERE is committed to establishing and maintaining an effective and consistent EERE-wide multi-year planning system. This template represents the first major step in establishing and institutionalizing that system. The Multi Year Program Defense (MYPD) effort is designed to complement the Multi Year Technical Plans (MYTP) being developed by TD programs. While MYPD focuses more on issues such as program planning, program management, resources, and evaluation, the MYTPs provide the technical plans at the heart of program R&D or deployment activities.

Multi-year planning in EERE does not start with a blank sheet. EERE consists of a portfolio of active programs, many of which maintain a considerable amount of planning information. By using this template to capture and organize existing program data, EERE will be able to document its programmatic baseline in a multi-year planning format. Although this baseline is a current snapshot, EERE and its operational context are dynamic, not static. Thus, the baseline multi-year plans will provide a point-of-departure for program evolution and continuous improvement over time, and the template will be used for future program multi-year planning.

The timeframe for the current multi-year planning effort is FY04-FY10.

It is understood that EERE will require a year or two to fully implement multi-year planning across its many offices. One early milestone for the system is the FY05 Spring Budget Summit. A subset of template components, identified herein, will be used to support program presentations and related decisions associated with the summit.

## **About the Template**

### Reporting Requirements

Information collected through this template will be used to address a number of internal and external requirements, including:

- Office of Management and Budget (OMB) Program Assessment Ratings Tool (PART),
- OMB Scoring Criteria (OMB Scorecard) implementing the President's Management Agenda, and
- DOE Chief Financial Officer's (CFO) Program Information Reporting System (PIRS).

A crosswalk to these requirements is included in an appendix.

### Information Sources and Pre-loading of Data

- Wherever possible, the template identifies the source for the information requested.
- BA and other EERE offices will preload data to answer certain questions (e.g., section on EERE's analysis plan) using information previously submitted by the program.
- It is extremely important to review the preloaded responses carefully to ensure accuracy. The program may wish to provide entirely different responses to certain elements, as the preloaded response may be based on out-of-date sources or may be otherwise incorrect.
- Since this data will form the starting point for the development of a larger MYP effort, it is critical to provide the most accurate information available to the program at this time.

### Completing the Template

- The template is a **Microsoft Word** document, with space provided for program input. Do not attempt to complete this template in WordPerfect. In most cases, responses will consist of brief textual response (a few sentences or paragraphs).
- Where quantitative or tabular information is requested, an accompanying Excel spreadsheet is provided to capture the information. Elements that require a response in Excel contain the direction, "**Please use the accompanying Excel answer sheet**" in the answer box. Occasionally, an element may need both a textual and tabular response and are so indicated.
- **Only elements that appear in bold type need to be answered in preparation of the FY05 Spring Budget Summit.** These elements are followed by text boxes.
- Responses to other non-summit elements, *which are bracketed and in italics*, will be captured after the summit. These elements do not have text boxes following them.
- BA Account Managers will work with program staff to complete this exercise.

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## **1. Program Context and Purpose**

The purpose of this section is to explain the mission, goals, and anticipated benefits of the Program; how they relate to the needs of the Nation as a whole; how they support the goals of DOE and EERE; and how they respond to specific legislation, if applicable.

### **1.1 Program Mission and Legislative Authority**

#### **1.1.1 State the purpose of the program, including its mission statement.**

Instructions & Explanation:	Please limit the response to one or two paragraphs per program or subprogram.
Data Sources:	FY04 Budget Request "Program Mission" Section
Lead Organization:	Planning, Budget Formulation and Analysis (PBFA) will provide
Level of Response:	Program
Related External Requirements:	OMB PART 1.1
Answer:	

*1.1.2 [Cite any legislative authority for this program and its impact on program goals, objectives and/or design.]*

### **1.2 Need and Anticipated Benefits**

#### **1.2.1 Describe the national need that this program addresses.**

Instructions & Explanation:	The need should be national in scope. Briefly describe (quantitatively, if possible) the scope of the need and how long it is likely to persist without Federal intervention. Provide citations to strategic documents which support this assertion, including specific references to pages, findings, or recommendations.
Data Sources:	National Energy Plan, EERE Strategic Plan
Lead Organization:	<b>TD Program</b>
Level of Response:	Program
Related External Requirements:	OMB PART-1.2
Answer:	

### 1.2.2 Explain why a Federal role is justified.

Instructions & Explanation:	<p>Explain why the Federal government (as opposed to state or local governments, non-governmental organizations, or the private sector) should address the national need described in SBS-1.2.1. Reasons include the following:</p> <ul style="list-style-type: none"> <li>• <i>Market Failures</i> <ul style="list-style-type: none"> <li>○ <i>Public Goods</i> are those that the market either will not supply or will supply in insufficient quantity, such as national security. As Secretary Abraham stated, “our energy and science programs should be judged by whether they advance this nation’s energy – and hence, national – security.”</li> <li>○ <i>Underinvestment in R&amp;D</i>. Because private firms cannot uniquely capture (patent) the benefits of basic and applied energy R&amp;D, they will underinvest in research. In addition, because of the uncertainty of research, there is an additional incentive to under-invest. The underinvestment in R&amp;D, relative to its prospective national benefits, explains the governmental role.</li> <li>○ <i>Lack of reliable information</i>. Adequate information is vital to the functioning of an efficient economy. Government efforts to improve the quality and accessibility of information to consumers and producers can produce substantial benefits to the economy.</li> <li>○ <i>Externalities</i> are situations where the actions of an individual or firm negatively or positively affect other individuals or firms without compensation. Examples of negative externalities include air and water pollution. Positive externalities might include renovation of homes to reduce energy bills, where the renovated homes improve the look of the entire neighborhood.</li> </ul> </li> <li>• <i>Lack of Access to Capital</i>. Low-income households often the financial means to invest in the energy performance of their homes, and therefore must devote a high percentage of their income paying energy bills.</li> <li>• <i>International Competitiveness</i>. High-technology industries can be characterized as having: 1) high fixed costs due to R&amp;D activities, 2) dynamic scale economies from learning-by-doing effects, 3) high risks of producing and marketing, and 4) knowledge spillovers. These features can justify government assistance.</li> </ul>
Data Sources:	FY2004 Budget Request “Context” section (for some programs) .
Lead Organization:	PBFA (to extent possible)
Level of Response:	Program
Related External	OMB Scorecard-Q1C

Requirements:	
Answer:	

### **1.2.3 Describe the specific anticipated benefits from this program.**

Instructions & Explanation:	Use quantifiable measures when possible such as energy saved or produced (e.g., trillions of Btu's, or installed megawatts of capacity). Provide a timeframe (e.g., 2015) for when these benefits are expected to be realized. Provide citations for underlying analysis for all claims such as GPRA analysis, independent studies, etc.
Data Sources:	GPRA Benefits Estimates
Lead Organization:	PBFA
Level of Response:	Program
Related External Requirements:	OMB PART-1.3, OMB PART-1.6RD
Answer:	.

*1.2.4 [Identify the primary beneficiaries of the program.]*

*1.2.5 [Describe those stakeholders who will benefit indirectly from the program and how they will benefit.]*

## **1.3 Program Goals**

### **1.3.1 List the long-term goals of the program.**

Instructions & Explanation:	Identify a limited number (less than five) of specific, easily understood program outcome goals that directly support the program's mission and purpose. Goals should be set relative to an established baseline and have clear time frames and targets. Long-term goals are those that occur after 2010.
Data Sources:	FY04 Budget Request, JOULE Inputs, Annual Performance Plan
Lead Organization:	<b>TD Program</b>
Level of Response:	Program
Related External Requirements:	
Answer:	



### 1.3.2 List the major annual short- and mid-term program goals.

Instructions & Explanation:	<p>Present the annual goals for the program for the period 2004 through 2010. The intent is not to force a listing of goals per year, but to take the existing short and mid-term goals and list them out by year. Goals <b><i>must be consistent</i></b> with the 2004 Budget Request (e.g., the short and mid-term goals for 2004 <b>must</b> agree with the FY 2004 budget request).</p> <ul style="list-style-type: none"><li>• Goal should be discrete, quantifiable, and measurable, and be able to be used to measure the program's progress towards reaching its long-term goals.</li><li>• It should be possible to relate program dollars to these goals. Identify or map each of these annual goals to the long-term program goals identified in 1.3.1.</li><li>• Goals should account for the majority of program dollars committed each year. (It is understood that long-term goals will usually have less specificity than short-term goals.)</li><li>• Discuss the goal in the context of the "exit" strategies concept, drawing upon PBFA's draft white paper on this topic.</li></ul>
Data Sources:	FY04 Budget Submission "Program Strategic Performance Goals" and other identifiable goals.
Lead Organization:	PBFA. (supplementary work will be drawn from PBFA's Draft Analysis on "Exit Strategies")
Level of Response:	Program
Related External Requirements:	OMB PART-2.2
Answer:	

### 1.3.3 Identify the program's contribution to Administration, DOE and EERE goals and objectives.

Instructions & Explanation:	Make sure to include ties to EERE's nine priorities. Provide a quantitative measure if possible.
Data Sources:	
Lead Organization:	<b>TD Program</b>
Level of Response:	Program
Related External Requirements:	OMB Scorecard-Q1A
Answer:	

#### **1.3.4 Describe the criteria and rationale used to prioritize annual goals.**

Instructions & Explanation:	Has the program used a process to prioritize these goals? If so, describe the criteria and rationale used. If not, explain why prioritization is not applicable or appropriate.
Data Sources:	
Lead Organization:	<b>TD Program</b>
Level of Response:	Program
Related External Requirements:	
Answer:	

## 2.0 Program Plan

The purpose of this section is to clarify the program's design and the overall approach for accomplishing program goals. An important part of this section deals with the process and criteria used for determining program priorities and associated levels of investment. For instance, the plan should clearly identify the R&D priorities determined to be the most urgent or critical to accomplish the program goals.

### 2.1 Program Structure

#### 2.1.1 List the subprograms, if any, of this EERE program.

Instructions & Explanation:	The list of subprograms should mirror both the budget structure and the internal management structure of the program. If an answer is provided for this question, you may skip question 2.1.2.
Data Source	FY2004 Budget Request
Lead Organization:	PBFA
Level of Response:	Sub-Program
Related External Requirements:	
Answer:	.

2.1.2 *[Identify any informal subprogram structure used for planning and management.]*

2.1.3 *[Describe the status of multiyear planning efforts at the sub-program level.]*

2.1.4 *[Discuss the link between the subprogram and program goals.]*

### 2.2 Program Interdependencies

#### 2.2.1 Identify outputs from *other* EERE programs which are critical to the success of your program

Instructions & Explanation:	List specific expected outputs from other programs by year. Tie these to annual program goals. Describe what program accomplishments are at risk if the other EERE programs are unable to produce the expected results. Include planned potential collaboration with other programs.
Data Source:	
Lead Organization:	<b>TD Program</b>
Level of Response:	Program
Related External Requirements:	
Answer:	

### **2.2.2 Identify the outputs of *your* program on which other EERE programs depend.**

Instructions & Explanation:	List the expected outputs from this program upon which other EERE programs depend. Describe the significance of these outputs to the success of the other programs. Include planned potential collaboration with other programs.
Data Source:	
Lead Organization:	<b>TD Program</b>
Level of Response:	Program Only
Related External Requirements:	
Answer:	

### **2.2.3 Describe how the program's goals are integrated with, or complement, similar programs at the federal, state, or local levels.**

Instructions & Explanation:	What aspects of the program are similar to other programs at the Federal, state, or local levels? How will this program work with those other programs to achieve the shared goal?
Data Source:	
Lead Organization:	<b>TD Program</b>
Level of Response:	Program
Related External Requirements:	
Answer:	

## **2.3 Outreach**

Answers to this section will be developed jointly by the EERE Office of Communication & Outreach and the program.

*2.3.1 [Describe the relationships that exist between the program and its stakeholders.]*

*2.3.2 [Discuss the collaborative efforts with others including other parts of DOE and the administration, the national laboratories, industry, and academia in your multiyear planning efforts.]*

*2.3.3 [Discuss how, if at all, stakeholders participate in program planning, decision-making, and implementation.]*

2.3.4 *[List any roadmaps that have contributed to the design or focus of program activities.]*

2.3.5 *[Describe the program's plan or strategy to communicate information about the program to intended audiences.]*

## **2.4 Program Approach: Market Characteristics; Barriers and Risk; and Program Design Rationale**

### **2.4.1 Describe the program's target market and relate that to the overall market of which this is a subset (MYP-5a)**

Instructions & Explanation:	Describe the size and characteristics of the program's target market (e.g., total energy consumed annually). Place this target market in the larger context of the overall market that could have been the target of program activities (e.g., transportation --> light duty vehicle --> automobile). Cite analyses used to guide the program in defining its market. These analyses could include discussion of the magnitude of the market opportunity, the need for government intervention to realize that opportunity, and/or the lack of private sector ability to capitalize on the opportunity.
Data Source:	OMB Scorecard-Q1b
Lead Organization:	<b>TD Program</b>
Level of Response:	Program
Related External Requirements:	OMB Scorecard-Q1b, OMB PART-1.7RD
Answer:	

**2.4.2 Describe how this program builds on existing technology, complements related RD&D activities, and proposes technically feasible R&D activities.**

Instructions & Explanation:	Alternatively, describe how this program is pursuing truly leap-frog or revolutionary technologies.
Data Source:	OMB Scorecard-Q2a
Lead Organization:	<b>TD Program</b>
Level of Response:	Program
Related External Requirements:	OMB Scorecard-Q2a
Answer:	

**2.4.3 Describe the key *technical* barriers that must be overcome for this program to accomplish its goals (MYP-7a)**

Instructions & Explanation:	Describe technical impediments to programmatic success (e.g., lack of availability or quality of special equipment or facilities, or the need for technical progress or breakthroughs in related areas of scientific or technical endeavors). Provide information on the most significant (less than five (5)) technical barriers. Market barriers should be addressed in section 2.4.5.
Data Source:	
Lead Organization:	<b>TD Program</b>
Level of Response:	Program
Related External Requirements:	
Answer:	

**2.4.4 Describe *how* your program plans to overcome the key *technical* barriers.**

Instructions & Explanation:	Question 2.4.3 asks the “what” question about technical barriers; this is the “how” question.
Data Source:	
Lead Organization:	<b>TD Program</b>
Level of Response:	Program
Related External Requirements:	

Answer:	
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**2.4.5 Describe the *market* barriers that must be overcome for this program to accomplish its goals (MYP-7b)**

Instructions & Explanation:	These market barriers should be specific, not general. Specific examples may fall under categories such as the inability to attract private sector or other partners, regulations, lack of reliable information, other financial disincentives, or contrary market trends (e.g., consumer preferences, perceived risk, lack of capital, extended paybacks, and difficulty of use).
Data Source:	
Lead Organization:	<b>TD Program</b>
Level of Response:	Program
Related External Requirements:	
Answer:	

**2.4.6 Describe *how* your program will overcome *market* barriers.**

Instructions & Explanation:	Question 2.4.5 asks the “what” question about market barriers; this is the “how” question.
Data Source:	
Lead Organization:	<b>TD Program</b>
Level of Response:	Program
Related External Requirements:	
Answer:	

**2.4.7 Describe *other* key barriers to program success (MYP-7d).**

Instructions & Explanation:	Other obstacles may include opposition from advocacy groups or industry associations. Other examples include opposition from other Federal agencies or state and local governments. (This should not include a discussion of lack of support for the program within DOE.)
Data Source:	
Lead Organization:	<b>TD Program</b>
Level of Response:	Program
Related External Requirements:	
Answer:	

**2.4.8 Describe *how* your program will overcome these *other* barriers**

Instructions & Explanation:	Question 2.4.7 asks the “what” question about external barriers; this is the “how” question.
Data Source:	
Lead Organization:	<b>TD Program</b>
Level of Response:	Program
Related External Requirements:	
Answer:	

**2.4.9 Describe why the current program design and program strategies best address the target market as opposed to alternatives (MYP-8a and MYP-24a).**

Instructions & Explanation:	Different program delivery approaches can often achieve similar ends, although the costs and schedules involved are often very different (e.g., direct government service, regulatory requirements, government sponsored enterprises, tax incentives, government guarantees, monitoring and enforcement, partnerships, competitive bidding, grants, matching funding, etc.) Explain why the design for this program is the most effective way to address the barriers discussed above (e.g., Does the design call for pilot projects to test high risk aspects of the program? Does the program design require maintaining long-term capabilities at one or more national laboratories? Does the program require the supporting and maintaining specialized facilities, equipment, etc.)
Data Source:	



Lead Organization:	<b>TD Program</b>
Level of Response:	Program
Related External Requirements:	OMB Scorecard-Q1D, OMB PART-1.5
Answer:	

2.4.10 *[For R&D programs, describe the plan for integrating the products of this program into an EERE deployment program.]*

2.4.11 *[Show how program actions will lead to goal achievement.]*

## **2.5 Detailed Program Description**

### **2.5.1 Provide a list of key activities with proposed budgets for FY04 through FY10.**

Instructions & Explanation:	These key activities should be organized by subprograms that are identified in the answer sheet for question 2.1.1. Provide a planning year (FY04) and five-year budget scenario. It is understood that out-year projections will not be as specific as near-term descriptions.
Data Sources:	FY04 Budget Request and PIRS
Lead Organization:	PBFA
Level of Response:	Key Activity
Related External Requirements:	PIRS-15, OMB PART-2.6
Answer:	

2.5.2 *[Distribute a 20% cut for each year across these key activities.]*

2.5.3 *[List the criteria that would be used to distribute this decrease.]*

2.5.4 *[Using the program logic chart, describe the effect of this decrement on the short-intermediate-, and long-term goals of this program.]*

2.5.5 *[Distribute a 50% increase for each year across these or new key activities.]*

2.5.6 *[List the criteria that would be used to distribute this increase.]*

2.5.7 *[Using the program logic chart, describe the effect of this increment on the short-, intermediate-, and long-term outcomes, on this program.]*

### 3.0 Schedule, Milestones, and Financial Resource Requirements

This purpose of this section is to develop a milestone schedule that ensures program activities are properly integrated and that interim and final milestones are relevant to program goals and objectives. This section departs from the five-year framework to provide the big picture of the full life of the program from inception to completion, and where the program is currently in that life-cycle.

#### 3.1.1 Provide a full description of the life-cycle of this program.

Instructions & Explanation:	Identify the program inception date (year) and targeted end date (year). If the program does not have a planned end date, explain. Provide an overview, a multi-year profile including inception, key stages, critical events, outputs, off-ramps, and goal achievements, and total resources required to achieve the goal. The goal is to construct a summary Gantt chart for the program showing major subprograms, intersections with other EERE programs, and points of intersection and handoffs.
Data Sources:	
Lead Organization:	<b>TD Program</b> (with PBFA Assistance)
Level of Response:	Program, Sub-program
Related External Requirements:	
Answer:	

#### 3.1.2 Provide the total program life cycle costs (MYP-21a).

Instructions & Explanation:	Provide a summary of program financial requirements for each year through 2020, or the life of the program if the program terminates before 2020. Describe the total life cycle costs, i.e., the full costs of creating, operating, maintaining, and terminating the program. Also specify whether or not costs are based on a schedule of deliverables.
Data Sources:	
Lead Organization:	<b>TD Program</b>
Level of Response:	Program
Related External Requirements:	
Answer:	

**3.1.3 Provide a list of planned milestones that will be achieved over the period FY2004 to FY2010 (MYP-6b).**

Instructions & Explanation:	Identify the planned program milestones by key activity for the period FY2004 to FY2010.
Data Sources:	FY04 Budget Request
Lead Organization:	PBFA
Level of Response:	Key Activity
Related External Requirements:	
Answer:	.

**3.1.4 List the sources of program funding.**

Instructions & Explanation:	For each major stage of the program life, describe the sources of funding (e.g., Congressional appropriations, industry match) anticipated to meet program goals. Show the proportion of funding for each source, including in kind contributions, over the life of the program.
Data Sources:	FY04 Budget Request
Lead Organization:	PBFA
Level of Response:	Program
Related External Requirements:	
Answer:	

## **4.0 Non-Financial Resource Requirements**

This section captures the non-financial requirements needed by the program. These include the federal workforce and analyses required for effective conduct of the program.

*4.1.1 [Describe the program's personnel needs at different stages of the program.]*

*4.1.2 [Describe the kinds of data and information you will need to plan and conduct the program effectively over time, and if or how those requirements will evolve along with the program.]*

## 5.0 Program Management

Describe the management structure, responsibilities, and processes that will be used for planning, execution, reporting, and review to ensure efficient and effective program control and coordination.

### 5.1 Organization Structure

#### 5.1.1 Describe the organizational network for managing and implementing the program.

Instructions & Explanation:	Provide an organizational chart (as a separate file), including the field structure, and describe the network used for managing and implementing the program. Identify lines of authority, critical relationships, points of coordination and decision-making paths. Supplement the chart with narrative to explain the organizational network.
Data Sources:	
Lead Organization:	<b>TD Program</b>
Level of Response:	Program
Related External Requirements:	
Answer:	

### 5.2 Management Processes

#### 5.2.1 List the key indicators of success or failure for each key activity.

Instructions & Explanation:	Identify the indicators used to measure success or failure for each of the key activities in your program, as provided in Element 2.5.1. These indicators are used to terminate, redesign, or declare the activity successfully completed. Examples include costs, units of output (services or products), outcomes of products or services (energy savings and other benefits), milestone achievement, market penetration, efficiency and/or productivity measures, beneficiary and stakeholder satisfaction, employee satisfaction, quality, and timeliness.
Data Sources:	
Lead Organization:	<b>TD Program</b>
Level of Response:	Key Activity
Related External Requirements:	OMB PART-3.10RD, OMB PART-4.1, OMB PART-4.1.3, OMB Scorecard-Q2d
Answer:	

5.2.2 *[Describe the program's plan for collecting program-critical information, and how the information will be used to track performance.]*

5.2.3 *[Identify who will receive performance information and how it will be used.]*

**5.2.4 Identify how program costs are managed and monitored.**

Instructions & Explanation:	
Data Sources:	Protocol to be developed by BA
Lead Organization:	<b>TD Program</b>
Level of Response:	Program
Related External Requirements:	
Answer:	

5.2.5 *How does the program ensure the proper and best use of program finances?*

5.2.6 *Describe your contingency plans to address performance problems.*

**5.3 Analysis Plan**

5.3.1 *[Describe your strategy for exploring new initiatives or undertaking program refinements.]*

5.3.2 *[Describe your analytic plan for obtaining the information needed for sound planning and decision making.]*

**5.4 Environment, Safety, and Health (ES&H)**

5.4.1 *[Describe what systems are in place to address environmental, safety, and health issues related to conducting the program.]*

**5.5 Procurement**

5.5.1 *[Describe the merit-based or competitive procurement process.]*

## **6.0 Program Evaluation & Benefits**

This section describes the general approach for evaluating program results and assessing the benefits of outcomes. The items listed are illustrative of the topics to be included in an evaluation plan.

The specific evaluation plan will be designed by PBFA specialists.

- 6.1.1 *[Describe the program's peer review process. What conditions or events might prompt a peer review?]*
- 6.1.2 *[What are the criteria for identifying and selecting peers?]*
- 6.1.3 *[Are program goals periodically peer reviewed?]*
- 6.1.4 *[How will the program ensure that the results of the peer review are shared with all interested parties?]*
- 6.1.5 *[Describe your strategy for ensuring that the program's direction and activities are consistent with the relevant roadmap. What special information, if any will you collect to track progress against roadmaps?]*
- 6.1.6 *[What evaluation processes exist to prevent mistakes from reoccurring and better focus future activities?]*
- 6.1.7 *[Has the program budgeted for peer reviews and evaluation in its current and out-year budgets?]*
- 6.1.8 *[What measures are used to calculate benefits?]*
- 6.1.9 *[Have the program's benefits metrics and calculations been peer reviewed?]*
- 6.1.10 *[How does the program disseminate information about its benefits?]*

## 7.0 Appendix: External Requirements Crosswalk, Reference Only

<b>Relationship of OMB PART to MYPD Questions</b>			
<b>ID</b>	<b>PART</b>	<b>MYPD Template Question # (V-11)</b>	<b>Fully (F) or Partially (P) Meets External Requirement</b>
1.1	Is the program purpose clear?	1.1.1, 1.1.2	F
1.2	Does the program address a specific interest, problem or need?	1.2.1	F
1.3	Is the program designed to have a significant impact in addressing the interest, problem or need?	1.2.3	P
1.4	Is the program designed to make a unique contribution in addressing the interest, problem or need (i.e., not needlessly redundant of any other Federal, state, local or private efforts)?	1.2.2,2.2.3	F
1.5	Is the program optimally designed to address the interest, problem or need?	2.4.9	F
1.6RD	Does the program effectively articulate potential public benefits?	1.2.3	F
1.7RD	If an industry-related problem, can the program explain how the market fails to motivate private investment?	1.2.2	F
2.1	Does the program have a limited number of specific, ambitious long-term performance goals that focus on outcomes and meaningfully reflect the purpose of the program?	1.3.1	F
2.2	Does the program have a limited number of annual performance goals that demonstrate progress toward achieving the long-term goals?	1.3.2, 3.1.1, 3.1.3	F
2.3	Do all partners (grantees, sub-grantees, contractors, etc.) support program planning efforts by committing to the annual and/or long-term goals of the program?	2.3.3	P
2.4	Does the program collaborate and coordinate effectively with related programs that share similar goals and objectives?	2.2.1,2.2.2,2.3.2	F
2.5	Are independent and quality evaluations of sufficient scope conducted on a regular basis or as needed to fill gaps in performance information to support program improvements and evaluate effectiveness?	6.1.1, 6.1.2,6.1.3,6.1.4,6.1.6,6.1.7,6.1.8	F
2.6	Is the program budget aligned with the program goals in such a way that the impact of funding, policy, and legislative changes on performance is readily known?	2.5.1,2.5.4,2.5.7,2.5.8,3.1.3	F
2.7	Has the program taken meaningful steps to address its strategic planning deficiencies?	Not Addressed	NA
2.8CAP	Are acquisition program plans adjusted in response to performance data and changing conditions?	Not Addressed	NA



<b>Relationship of OMB PART to MYPD Questions</b>			
<b>ID</b>	<b>PART</b>	<b>MYPD Template Question # (V-11)</b>	<b>Fully (F) or Partially (P) Meets External Requirement</b>
2.9CAP	Has the agency/program conducted a recent, meaningful, credible analysis of alternatives that includes trade-offs between cost, schedule and performance goals?	Not Addressed	NA
2.8REG	Are all regulations issued by the program/agency necessary to meet the stated goals of the program, and do all regulations clearly indicate how the rules contribute to achievement of the goals?	Not Addressed	NA
2.8RD	Is evaluation of the program's continuing relevance to mission, fields of science, and other "customer" needs conducted on a regular basis?	5.3.1,6.1.3,6.1.4,6.1.5,6.1.10	F
2.9RD	Has the program identified clear priorities?	1.3.4,2.5.2,2.5.3,2.5.5,2.5.6	F
3.1	Does the agency regularly collect timely and credible performance information, including information from key program partners, and use it to manage the program and improve performance?	5.2.2,5.2.3	F
3.2	Are Federal managers and program partners (grantees, subgrantees, contractors, etc.) held accountable for cost, schedule and performance results?	5.2.3,5.2.6	P
3.3	Are all funds (Federal and partners') obligated in a timely manner and spent for the intended purpose?	Not Addressed	NA
3.4	Does the program have incentives and procedures (e.g., competitive sourcing/cost comparisons, IT improvements) to measure and achieve efficiencies and cost effectiveness in program execution?	Not Addressed	NA
3.5	Does the agency estimate and budget for the full annual costs of operating the program (including all administrative costs and allocated overhead) so that program performance changes are identified with changes in funding levels?	5.2.4	P
3.6	Does the program use strong financial management practices?	5.2.4	P
3.7	Has the program taken meaningful steps to address its management deficiencies?	5.2.5	P
3.8B	Does the program have oversight practices that provide sufficient knowledge of grantee activities?	5.2.3,5.2.6	P
3.9B	Does the program collect grantee performance data on an annual basis and make it available to the public in a transparent and meaningful manner?	5.2.2,5.2.3,5.2.6	P
3.8CAP	Are acquisition program plans adjusted in response to performance data and changing conditions?	5.2.6	P

<b>Relationship of OMB PART to MYPD Questions</b>			
<b>ID</b>	<b>PART</b>	<b>MYPD Template Question # (V-11)</b>	<b>Fully (F) or Partially (P) Meets External Requirement</b>
3.9CAP	Has the agency/program conducted a recent, meaningful, credible analysis of alternatives that includes trade-offs between cost, schedule and performance goals?	Not Addressed	NA
3.8Co	Are grant applications independently reviewed based on clear criteria (rather than earmarked) and are awards made based on results of the peer review process?	5.5.1	P
3.9Co	Does the grant competition encourage the participation of new/first-time grantees through a fair and open application process?	Not Addressed	NA
3.10Co	Does the program have oversight practices that provide sufficient knowledge of grantee activities?	5.2.3,5.2.6	P
3.11Co	Does the program collect performance data on an annual basis and make it available to the public in a transparent and meaningful manner?	5.2.2,5.2.3,5.2.6	P
3.9CR	Does the program consistently meet the requirements of the Federal Credit Reform Act of 1990, the Debt Collection Improvement Act and applicable guidance under OMB Circulars A-1, A-34, and A-129?	Not Addressed	NA
3.10CR	Is the risk of the program to the U.S. Government measured effectively?	2.2.1,2.4.3,2.4.5,	P
3.8REG	Did the program seek and take into account the views of affected parties including state, local and tribal governments and small businesses, in drafting significant regulations?	1.2.5,2.3.1,2.3.3,	F
3.9REG	Did the program prepare, where appropriate, a Regulatory Impact Analysis that comports with OMB's economic analysis guidelines and have these RIA analyses and supporting science and economic data been subjected to external peer review by qualified specialists?	Not Addressed	NA
3.10REG	Does the program systematically review its current regulations to ensure consistency among all regulations in accomplishing program goals?	Not Addressed	NA
3.11REG	In developing new regulations, are incremental societal costs and benefits compared?	Not Addressed	NA
3.21REG	Did the regulatory changes to the program maximize net benefits?	Not Addressed	NA
3.13REG	Does the program impose the least burden, to the extent practicable, on regulated entities, taking into account the costs of cumulative final regulations?	Not Addressed	NA

<b>Relationship of OMB PART to MYPD Questions</b>			
<b>ID</b>	<b>PART</b>	<b>MYPD Template Question # (V-11)</b>	<b>Fully (F) or Partially (P) Meets External Requirement</b>
3.8RD	Does the program allocate funds through a competitive, merit-based process, or, if not, does it justify funding methods and document how quality is maintained?	5.5.1	P
3.9RD	Does competition encourage the participation of new/first-time performers through a fair and open application process?	Not Addressed	NA
3.10RD	Does the program adequately define appropriate termination points and other decision points?	1.3.2,3.1.1,3.1.2,5.2.1	F
3.11RD	If the program includes technology development or construction or operation of a facility, does the program clearly define deliverables and required capability/performance characteristics and appropriate, credible cost and schedule goals?	3.1.3	P
4.1	Has the program demonstrated adequate progress in achieving its long-term outcome goal(s)?	5.2.1,5.2.2	P
4.1.1	Long-Term Goal I:	5.2.1,5.2.2	P
4.1.2	Target:	5.2.1,5.2.2	P
4.1.3	Actual Progress achieved toward goal:	5.2.1,5.2.2	P
4.2	Does the program (including program partners) achieve its annual performance goals?	5.2.1,5.2.2	P
4.2.1	Key Goal I:	5.2.1,5.2.2	P
4.2.2	Performance Target:	5.2.1,5.2.2	P
4.2.3	Actual Performance:	5.2.1,5.2.2	P
4.3	Does the program demonstrate improved efficiencies and cost effectiveness in achieving program goals each year?	5.2.5	P
4.4	Does the performance of this program compare favorably to other programs with similar purpose and goals?	Not Addressed	NA
4.5	Do independent and quality evaluations of this program indicate that the program is effective and achieving results?	6.1.1,6.1.2,6.1.3,	P
4.6CAP	Were program goals achieved within budgeted costs and established schedules?	5.2.2	P
4.6REG	Were programmatic goals (and benefits) achieved at the least incremental societal cost and did the program maximize net benefits?	5.2.2	P
4.6RD	If the program includes construction of a facility, were program goals achieved within budgeted costs and established schedules?	5.2.2	P

<b>Relationship of OMB Scorecard to MYPD Questions</b>			
<b>OMB ID</b>	<b>OMB Scorecard</b>	<b>MYPD Template Question (V-11)</b>	<b>Fully (F) or Partially (P) Meets External Requirement</b>
OMB-Q1A	To what extent does the R&D activity support an area identified by the President as a high priority?	1.3.3	F
OMB-Q1B	To what extent are there market barriers to private sector investment in research related to the effort?	2.4.1,2.4.5	F
OMB-Q1C	To what extent does the R&D activity support work where there is a clear public benefit?	1.2.2,1.2.3	F
OMB-Q1D	To what extent does the R&D activity most effectively support the Federal policy goals compared to other policy alternatives such as legislation or regulation?	2.4.9	F
OMB-Q2a	How well does the plan build on existing technology, complement related R&D activities, and propose technically feasible R&D activities?	2.4.2	F
OMB-Q2b	How well does the R&D activity's planning and prioritization incorporate industry involvement?	2.3.1,2.3.2,2.3.3, 2.3.4,2.3.5,6.1.4, 6.1.5	F
OMB-Q2c	What is the level of industry cost sharing for the program?	3.1.4	P
OMB-Q2d	How well does R&D activity planning incorporate performance indicators?	5.2.1,5.2.2,5.2.3	F
OMB-Q2e	How well does the R&D activity plan incorporate "off ramps" and a clear end point?	1.3.2,3.1.1,3.1.2	F
OMB-Q2f	To what extent is the R&D activity plan the result of a competitive merit-based process and subject to an external review?	Not Addressed	NA
OMB-Q2g	What is the expected number of years to commercialization?	3.1.1	P
OMB-Q2h	Is this R&D activity basic, applied, demonstration or development?	1.1.1	P
OMB-Q2i	What is the extent of technological risk inherent in the research?	2.2.1,2.4.3	P
OMB-Q3a	R&D Activity Performance: Provide an equivalent dollar unit of energy saved or generated or other benefits (actual and anticipated) to indicate the R&D activity's effectiveness, efficiency and benefits.	1.2.3	F

<b>Relationship of CFO PIRS to MYPD Questions</b>				
<b>ID</b>	<b>PIRS</b>	<b>Description of Element</b>	<b>MYPD Template Question (V-11)</b>	<b>Fully (F) or Partially (P) Meets External Requirement</b>
PIRS-01	1st Funding Year	Start Date	3.1.1	F
PIRS-02	Original Completion Date	Planned Completion Date	3.1.1	F
PIRS-03	Current Completion Date	Revised Completion Date	3.1.1	F
PIRS-04	Description	Brief description of Program	1.1.1	F
PIRS-05	Congressional Requirements	Listing of references to law, Committee reports, etc.	1.1.2	F
PIRS-06	Other Requirements	Listing of requirements other than Congressional (e.g., Executive Orders, interagency Agreements)	1.1.2	F
PIRS-07	Interdependencies	Programmatic ties to other DOE programs	2.2.1,2.2.2,2.2.3	F
PIRS-08	HQs Program Management Office	Responsible HQ Office	Not Addressed	NA
PIRS-09	HQs Program Manager	Name of Program Manager	Not Addressed	NA
PIRS-10	Telephone	Telephone number of Program Manager	Not Addressed	NA
PIRS-11	Next Higher Program Outcome	Outcome of Next-Level program that this program serves	Not Addressed	NA
PIRS-12	Contribution to Next Higher Program Outcome	Discussion of how program ties to next-level outcome	1.3.3	P
PIRS-13	Performance Objective 2004-2008	Discussion (list) of performance objectives that are measurable, and with specific dates and metrics.	1.3.2,3.1.3	F
PIRS-14	Exit Criteria	Description of circumstances that would lead the Department to end this program.	5.2.1	F
PIRS-15	Program Funding	Current year, budget year, and 5-year planning horizon of funding required to meet objectives.	2.5.1	F
PIRS-16	Capital Assessment Project Subtotal	Current year, budget year, and 5-year planning horizon of funding required to meet objectives.	2.5.1	F
PIRS-17	Federal Employee Staffing Directly Supporting Programs	Current year, budget year, and 5-year planning horizon of FTE required to meet objectives.	4.1.1	F